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South Asia Urban Knowledge Hub

## **Engagement Strategy**

(KP1: Inclusive Urban Prosperity Framework)

## **Step 1: Define the issue: What challenge are we addressing?**

The Government of India is currently working towards redefining the system architecture of cities. The recently announced urban missions aim to develop a network of planned cities through a range of investment strategies. Some of the cities would harness value of local heritage for economic development whereas others would either strive for urban renewal through targeted infrastructure development or compete to be a smart city. All the different approaches call for a relook at the existing rules, regulations, practices and investment strategies. The idea of inclusive urban prosperity is directly aligned to the vision of sabka saath, sabka vikas (together with all, development for all) of the current government.

This research is to contextualise the idea of prosperity for Indian cities. This was derived from the UN Habitat's City Prosperity Index (2012). While striving to achieve prosperity, it was realised that it would be incomplete unless it could enable effective participation of economically weaker sections. Hence, the task is to understand the critical steps required to facilitate upward mobility of the poor people in Indian cities. The rich data base of past research/policies/practice has identified 1) lack of property ownership, 2) shortage in social security measures, 3) inadequate provision of basic services, 4) skill deficits and 5) lack of access to capital as some of the major barriers for the prosperity of the poorer sections.

The inclusive urban prosperity framework envisages social well-being through appropriate measures that can address the resource deficits of the urban poor. According to Prof.C.K.Prahalad who coined the idea of inclusive capitalism, the difference between the poor and others was lack of opportunity and not intelligence or physical ability. This framework is aimed to facilitate the upward mobility requirements of the urban poor including safe houses, skills, access to finance, health, access to services and social integration. In order to achieve prosperity, one of the key factors identified by the government is a thriving entrepreneurial ecosystem capable of promoting frugal innovation. There is greater emphasis at all levels of government to provide opportunities for skill development and financial inclusion. These schemes aim for greater deployment of talent and capital for an inclusive development of the country.

In this context, it is essential to study the vital elements required for achieving inclusive prosperity in Indian cities. However, the past experiences have shown that there were several barriers that prevented effective use of research outcomes in public policies. These missing ideas or connections have been a major challenge in emerging economies such as India. The lack of coherent city visions resulting in fragmented investments in Indian cities is a direct evidence of poor engagement among relevant stakeholders. The projects are driven by availability of capital rather than a shared vision and well articulated plan. It is understood that one of the root cause of the problem is absence of strategic engagements by researchers and practitioners. These barriers can be overcome through sustained engagements of researchers with policy makers, entrepreneurs, civil society groups and media. It is possible to attenuate target groups through well researched, incisive and properly articulated information.

The Government of India has recently began giving a strong emphasis on IEC campaigns especially as it embarks upon Swachh Bharat Mission (Clean India Mission). One of the leading think tank IIED,

London has an audience strategy. IIED states that the world is increasingly information saturated and it needs specially designed approaches to inform and influence the right target group. The focal theme of the World Development Report 2015 published by the World Bank is Mind, Society and Behaviour. This stresses on the need to understand human behaviour before policy instruments are formulated.

According to Phil Davies, policy makers tend to be influenced more heavily by their own values, experience, expertise and judgement, the influence of lobbyists and pressure groups and pragmatism-based on the resources available than by evidence. Sustained engagement with all key stakeholders has been identified by various leading thinkers as an essential strategy for change making. The Royal Town Planning Institute, UK in one of its recent Reports has captured the need for planning to create 'public value'. Flyvbjerg (2006:370-371) states that communicating effectively and dialogically about the outcomes of the research to fellow citizens and collecting their feedback will enhance the value of organisational research and eventually contribute to distilling 'reasons capable of actions'.

The Institute for Government and Behavioural Insights Team of UK Cabinet Office have come out with a new thinking that provides useful insights on shaping social choices through policies and programmes. Their sustained efforts have resulted in formulating a tool named MINDSPACE. This is a short form of the following nine aspects which have been identified as determinants of human behaviour.

1. Messenger: we are heavily influenced by who communicates information.
2. Incentives: our responses to incentives are shaped by predictable mental shortcuts, such as strongly avoiding losses
3. Norms: we are strongly influenced by what others do
4. Defaults: we go with the flow of pre-set options
5. Salience: our attention is drawn to what is novel and seems relevant to us
6. Priming: our acts are often influenced by sub-conscious cues
7. Affect: our emotional associations can powerfully shape our actions
8. Commitments: we seek to be consistent with our public promises and reciprocating acts
9. Ego: we act in ways that make us feel better about ourselves.

The proponents of this approach has envisioned a 6E framework which consists of 1) Explore, 2) Enable, 3) Encourage, 4) Engage, 5) Exemplify and 6) Evaluate. This explains the need and scope for engagement while involved in socially beneficial research.

## **Step 2: Articulate the goal and objectives: What change do we want to achieve?**

The goal of this influencing strategy is to facilitate a cultural and economic change for making Indian cities inclusive and prosperous. In order to achieve this goal, it is required to adopt a multi-pronged strategy. Thus the objectives are 1) provide updated and critical information to all relevant stakeholders, 2) engage them to get the agreed ideas incorporated in their respective plans and 3) evolve a smart information sharing mechanism through inter-institutional cooperation supported by infomediaries or media groups. At the end of this intervention, it is expected to see the idea of inclusive prosperity included into the relevant public policies at national, state and local level. This will need acceptance by policy makers at all levels to orient the plans and programmes around this theme. Realisation of this will depend either upon the tangible benefits for the target groups or the wider acceptance of this theme as a strategic planning framework. Since verifiable benefits cannot be shown

within the short span of this project period, the focus is on communicating empirical evidences from cities that support the call for such a broader framework.

**Step 3: Understand your context: What is the environment for change?**

The Government of India is implementing major urban sector investments addressing areas of knowledge and skill deficit, policy reforms, technology inputs and physical interventions. These schemes will cover 500 plus urban settlements in India over the next 5 years. This provide opportunity for providing new knowledge inputs. However, evidences from ODI's research (2009:3) suggest that influencing need not be limited to government policies, but can contribute to one or more of the following such as 1) discursive (i.e. changes in language usage), 2) procedural (i.e. change in how something is done), 3) content (i.e. actual changes in written policy), 4) attitudinal (i.e. changes in perception of key stakeholders) and 5) behavioural (i.e. changes in the way something is achieved or approached)

**Step 4: Identify decision makers, key actors and relationships: Who do we need to influence?**

The key actors who need to be engaged in the process of this research form three major constituencies such as 1) international organisations 2)national organisations and 3) city level organisations. Since this is overseen by the Ministry of Urban Development, Government of India, the relevant divisions within the Ministry will be involved through regular information update and consultations.

Apart from MoUD, the Ministry of Housing and Urban Poverty Alleviation, Government of India which is responsible for the new scheme on 'Housing for All' will also be consulted. Apart from the two Ministries, Town and Country Planning Organisation, Institute of Town Planners, India, Hudco, and National Housing Bank have important stakes related to urban poverty. Since ADB

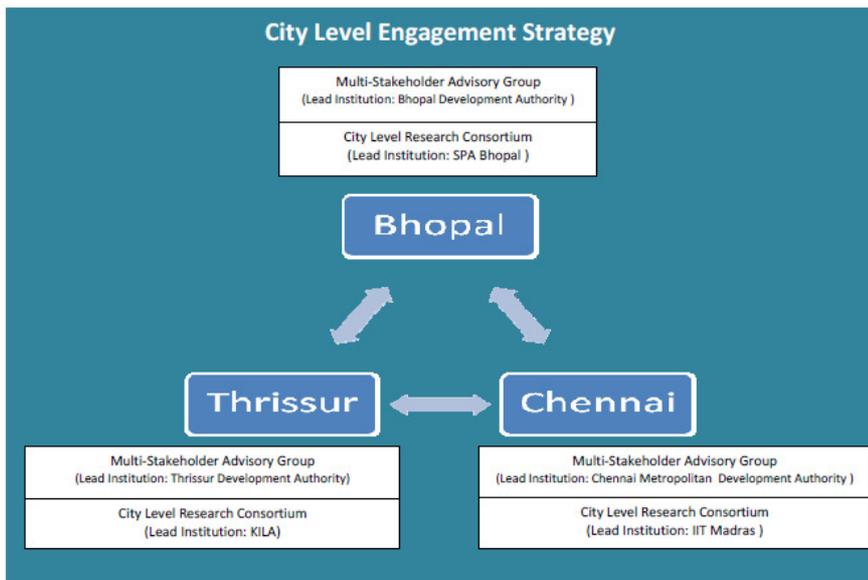


supports inclusive growth strategies, the relevant teams within ADB will be invited to engage with this framework. Apart from these, recent consultations with UNESCO India which has been advocating the right to city, Global Observatory linking Research and Action (GORA), UNDP India and various other international agencies working in the selected three cities will form the second constituent of stakeholders. Apart from these, the Local Urban Development Authority and Municipal Corporation in the respective cities, sectoral agencies responsible for planning and investments, resident welfare associations, NGOs/CSOs, media groups and professional organisations will be involved in

consultations as each of these groups will have a reason in support or against the proposed framework.

**Step 5: Describe your influence story: What is your process of change?**

The city level strategy has 6 elements related to research and knowledge building, knowledge dissemination, policy formulation and political endorsement, public engagement and persuasive strategies through credible local influencers.



**I. City Level Working Group on Inclusive Urban Prosperity**

Lead Institution

Local Urban Development Authority

Vision

Enable preparation and implementation of an inclusive urban prosperity framework for the city.

**Mission**

Assess the scope and need for institutionalising inclusive urban prosperity framework.

Tasks

1. Identify and mobilise ideas and resources for making the city an inclusive and prosperous.
2. Engage with local, state, national and international institutions to promote the agenda of inclusive urban prosperity.
3. Set the agenda for city level research consortium.
4. Act as the expert group to monitor and steer the research strategies and activities of the City Level Research Consortium.
5. Strengthen inter-institutional relationships to achieve inclusive prosperity and project it as a shared vision.

**II. City Level Research Consortium on Inclusive Urban Prosperity**

Lead Institution

University/Research Institution

Vision

Provide advice for policy making through city based empirical research.

## Mission

Act as the local urban observatory by linking research, policy and business to inclusive urban prosperity.

## Tasks

- Identify locally relevant issues that need detailed investigation
- Conduct study on the identified issues and document the outcomes.
- Dissemination of new knowledge through appropriate methods

### III. City Level Prosperity Dialogues

This will be the regular forum to present about the key issues related to the city. The lead organisations can identify the themes and speakers whereas the dialogues should bring all key stakeholders and facilitate debates around inclusive urban prosperity. The dialogues should inform the policy makers and key local agents of change on how the agenda is shaping in the city and how to take advantage by engaging and internalising this agenda.

### IV. Identify Local Champions

In order to ensure that the idea of inclusive prosperity is propelled through the right people who are accepted widely in the society or various social groups within the city, it is useful to identify 5-6 local leaders through social network analysis. They will not only act as the agents of information dissemination, but contribute to the sustained institutionalisation of the new framework. (Ref: Tim Campbell)

### V. Preparation of Inclusive Urban Prosperity Framework for the city

Though, this will primarily be the responsibility of K-Hub at NIUA, the critical inputs from the city level research consortium and advice of the Working Group will ensure the trends, patterns and key local issues are understood while the new framework is being prepared.

### VI. Public Engagement Strategy

The success of any new public policy framework will depend upon its appreciation and adaptation by the citizens. Hence, it is important to engage with the citizens through regular information dissemination apart from inviting them to contribute to the furtherance of the policy framework. According to one of the World Bank's recent statements, consensus on key interventions can be forged through effective engagement of citizens. The political party which currently rules the State of Delhi has been successfully organising Delhi Dialogues to engage citizens in issues of political and social relevance.

## **Step 6: Monitoring and Learning: improving and adapting our process**

The purpose of establishing research consortiums in each city is aimed at sustained information exchanges and learning. Once stabilised, these teams can contribute to updation of methods and techniques that are culturally well embedded in each city. The emerging area of knowledge based

urban development recognises knowledge capital and shared learning as strategic resources for cities. The K-Hub's aim is to test ideas that can cater to cohesive urban strategies. Since the focus of inclusive urban prosperity being strategic planning to facilitate upward mobility of the urban poor, it demands both structural and cultural reorientation. This offers a possibility for yielding rich responses during stakeholder consultations. The task is to create a network which will facilitate shared learning and embed engagement strategies into its core business.